

# EXHIBIT L

WK\_ NYSE 2440C Rule 440C Deliveries Against Short Sales.pdf

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## 2004 NYSE Rule Archives, Regulation, NYSE, ¶2440C, Rule 440C. Deliveries Against Short Sales

[http://prod.resource.cch.com/resource/scion/document/default/20100113T1047182780600d3e125307?  
cfu=Legal](http://prod.resource.cch.com/resource/scion/document/default/20100113T1047182780600d3e125307?cfu=Legal)

[Archive rulebook — NYSE APR 2004]

### Rule 440C. Deliveries Against Short Sales

• • • **SupplementaryMaterial:** .....

**.10 Failure to deliver.** —No member or member organization should “fail to deliver” against a short sale of a security on a national securities exchange until a diligent effort has been made by such member or organization to borrow the necessary securities to make delivery.

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